

# 7

Substitute for Form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary.)				<b>Complete if Known</b>	
				Application Number	09/540,611
				Filing Date	March 31, 2000
				First Named Inventor	Carl M. Ellison
				Group Art Unit	2782
				Examiner Name	Unassigned
Sheet	1	of	2	Attorney Docket Number	042390.P8112

### U.S. PATENT DOCUMENTS

Exam. Initials.	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
ECT	4,278,837	07/14/81	Best			
	4,521,852	06/04/85	Guttag			
	5,022,077	06/04/91	Bealkowski et al.			
	5,293,424	03/08/94	Holtey et al.			
	5,421,006	05/30/95	Jablon et al.			
	5,473,692	12/05/95	Davis			
	5,479,509	12/26/95	Ugon			
	5,568,552	10/22/96	Davis			
	5,657,445	08/12/97	Pearce			
	5,729,760	03/17/98	Poisner			
	5,796,845	08/18/98	Serikawa et al.			
	5,805,712	09/08/98	Davis			
	5,835,594	11/10/98	Albrecht et al.			
	5,844,986	12/01/98	Davis			
	5,937,063	08/10/99	Davis			
	5,978,481	11/02/99	Ganesan et al.			
	6,014,745	01/11/00	Ashe			
	6,058,478	05/02/00	Davis			
	6,158,546	12/12/00	Hanson et al.			
	6,175,925	01/16/01	Nardone et al.			
	B1					

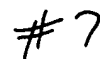
RECEIVED  
 SEP 13 2001  
 Technology Center 2100

### FOREIGN PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Country	Class	Sub-class	Translation Yes	No

Examiner Signature	CP L	Date Considered	9 JAN 2004
--------------------	------	-----------------	------------

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary.)*

**Complete if Known**

Application Number	09/540,611
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Group Art Unit	2782
Examiner Name	Unassigned
Attorney Docket Number	042390.P8112

Sheet	2	of	2
-------	---	----	---

[illegible][illegible]Examiner  
Signature

Cl Thom

Date  
Considered

9-542 2004

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

MAR 21 2002

**Complete if Known**

Application Number	09/540,611
--------------------	------------

Filing Date	3/31/00
-------------	---------

First Named Inventor:	Ellison
-----------------------	---------

Group Art Unit	2782
----------------	------

**Examiner Name**

Attorney Docket Number	042390.P8112
------------------------	--------------

RECEIVED

~~MAR 22 2002~~

Technology Center 2100

**.Sheet**

of

**1**

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date Considered

9 JAN 2004

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

**Complete if Known**

Sheet	1	of	2	Attorney Docket Number	042390.P8112
-------	---	----	---	------------------------	--------------


## U.S. PATENT DOCUMENTS

[illegible]

RECEIVED  
APR 10 2002  
Technology Center 2100

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	9 JAN 2004
--------------------	---	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/540,611
Filing Date	March 31, 2000
First Named Inventor:	Carl M. Ellison
Group Art Unit	2782
Examiner Name	Unassigned
Attorney Docket Number	042390.P8112

RECEIVED

MAY 07 2003

Technology Center 2100

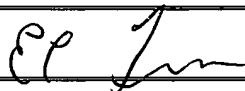
Sheet 1 of 1

## U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
ECT		6,505,279		Phillips et al.	01-07-2003	
		5,079,737		Hackbarth	01-07-1992	
		5,628,022		Ueno et al.	05-06-1997	
		6,192,455		Bogin et al.	02-20-2001	
		6,085,296		Karkhanis et al.	07-04-2000	
		6,148,379		Schimmel	11-14-2000	
		6,499,123		McFarland et al.	12-24-2002	
		6,339,816		Bausch	01-15-2002	
		6,125,430		Noel et al.	09-26-2000	
		5,852,717		Bhide et al.	12-22-1998	
		5,386,552		Garney	01-31-1995	
		4,037,214		Birney et al.	07-19-1977	
		6,249,872		Wildgrube et al.	07-19-2001	
		6,055,637		Hudson et al.	04-25-2000	
		5,757,919		Herbert et al.	05-26-1998	
		5,737,760		Grimmer, Jr. et al.	04-07-1998	
		6,292,874		Barnett	09-18-2001	
		6,272,533		Browne	08-07-2001	
		6,339,815		Feng et al.	01-15-2002	
		5,872,994		Akiyama et al.	02-16-1999	
		6,301,646		Hostetter	10-09-2001	
		6,321,314		Van Dyke	11-20-2001	
		2001/0021969		Burger et al.	09-13-2001	
		2001/0027527		Khidekel et al.	10-04-2001	

## FOREIGN PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				
ECT		-	WO 97/29567		Fortress U & T Ltd.	08-14-1997		
		-	WO 01/75565		Intel Corporation	10-11-2001		
		-	WO 01/75595		Intel Corporation	10-11-2001		
		-	WO 01/27723		Hewlett-Packard Company	04-19-2001		
		-	WO 01/27821		Hewlett-Packard Company	04-19-2001		

Examiner  
Signature


Date Considered

9 JAN 2004

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document.

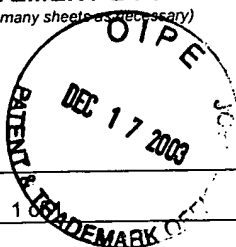
<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Alexandria, VA 22313. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number	09/540611
Filing Date	March 31, 2000
First Named Inventor	Ellison, Carl M.
Group Art Unit	2782
Examiner Name	Unassigned

RECEIVED

DEC 18 2003

Sheet 1 of 1

Attorney Docket No: 42P08112

Technology Center 2100

## US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
ECT /	DE-DE4217444	12/03/1992	Toyohisa, Imada, et al.			
ECT /	EP-EP0473913	03/11/1992	Farrell, Joel A.			abs

## OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
ECT	/	BRANDS, STEFAN, "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995), Chapter 3	
	/	DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", <u>Proceedings of the Symposium on Security and Privacy</u> , IEEE Comp. Soc. Press, ISBN 0-8186-1939-2, (May 1989)	
	/	KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", <u>Software Engineering Conference</u> , Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8, (1996)	
	/	LUKE, JAHN, et al., "Replacement Strategy for Aging Avionics Computers", <u>IEEE AES Systems Magazine</u> , XP002190614, (March 1999)	
	/	MENEZES, OORSCHOT, "Handbook of Applied Cryptography", <u>CRC Press LLC, USA XP002201307</u> , (1997), 475	
	/	RICHT, STEFAN, et al., "In-Circuit-Emulator Wird Echtzeittauglich", <u>Elektronik</u> , Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620, (100-103), 8-6-1991	
	/	SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615, (July 1999), 43-48	
	/	SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture", Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA, (Nov. 2001)	

EXAMINER

DATE CONSIDERED

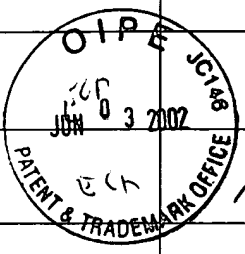
9 JAN 10 2004

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**



Substitut for Form 1449A/PTO (Modified) <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>C mplete if Kn wn</b>	
				Application Number	09/540,611
				Filing Date	3/31/00
				First Named Inventor:	Carl M. Ellison
				Group Art Unit	2782
				Examiner Name	
Sheet	2	of	2	Attorney Docket Number	042390.P8112
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 – page 1-9, page 1-13- page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11			
		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14			
		JOE HEINRICH: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79			
		BERG C: "HOW DO I CREATE A SIGNED APPLLET?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122			
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112			

RECEIVED  
 JUN 05 2002  
 Technology Center 2100

Examiner Signature		Date Considered	9 JAN 2004
--------------------	---	-----------------	------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED  
JAN 30 2003  
PTO OFFICE STAFF

RECEIVED  
JAN 30 2004  
PTO OFFICE STAFF

#  
14

Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)

<i>Complete if Known</i>	
<b>Application Number</b>	09/540611
<b>Filing Date</b>	March 31, 2000
<b>First Named Inventor</b>	Ellison, Carl
<b>Group Art Unit</b>	Unknown
<b>Examiner Name</b>	Unknown

Sheet 1 of 1

Attorney Docket No: 42P08112

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
/	JP-JP2000076139	03/14/2000	Tanno, Masaaki, et al.			
/	WO-WO0175564	10/11/2002	Herbert, Howard C., et al.			
/	WO-WO02086684	10/31/2002	Proudlar, Graeme J.			
/	WO-WO0217555	02/28/2002	Ford, Warwick			

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	/	CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", <u>7th Annual IEEE Symposium, FCCM '99 Proceedings</u> , XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999),209-221	
	/	COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001),1-321	
	/	IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", <u>TDB-ACC-No. NA9112156</u> , Vol. 34, Issue 7A, (12/1/1991),156-158	
	/	KARGER, PAUL A., et al., "A VMM Security Kernal for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990),2-19	
	/	ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00),1-17	

**RECEIVED**

FEB 03 2004

Technology Center 2100

**EXAMINER**

**DATE CONSIDERED**

NOV 22 2002

Sheet

Examiner Signature		Date Considered	9 JAN 2004
-----------------------	---	-----------------	------------

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for Form 1449A/PTO (Modified)				<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(Use as many sheets as necessary)</small>				Application Number	09/540,611	
				Filing Date	March 31, 2000	
				First Named Inventor:	Carl M. Ellison	
				Group Art Unit	2782	
				Examiner Name	Unassigned	
Attorney Docket Number	042390P81 Technology Center 2100					
Sheet	2	of	2			
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>						
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>	
ECT	✓	GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.				
↓	✓	GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983				
↓	✓	ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.				
↓	✓	LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 11/29/1999; pp. 1-31.				

Examiner Signature	EC L	Date Considered	9 JAN 2004
-----------------------	------	--------------------	------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.